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PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

James C. YIK et al.

Group Art Unit: 2661

Application No. 09/966,691

Filed: September 28, 2001

For: INTERNAL COMMUNICATION PROTOCOL FOR DATA SWITCHING EQUIPMENT

**INFORMATION DISCLOSURE STATEMENT***(SUBMISSION AFTER FILING OF AN APPLICATION BUT  
BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE)*

GAU 2661  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

II. COPIES

- X Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE*(check at least one box)*

- a. X Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b.     A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:
- c.     The following additional information is provided for the Examiner's consideration.

IV. ☒ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(b):  
(check one box)

- a. ☐ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 CFR § 1.97(b)(1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 CFR § 1.97(b)(2)). No fee or certification is required.
- c. ☒ before the mailing of a first Office action on the merits (37 CFR § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 CFR § 1.97(c) and see the certification under 37 CFR § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$180 as required by 37 CFR § 1.17(p).
- d. ☐ before the mailing of a first Office action after the filing of a request for continued examination under § 1.114 (37 CFR § 1.97(b)(4)). No fee or certification is required.

V. ☐ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(c):  
(check one box)

before the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application.

- a. ☐ No certification; therefore, a fee in the amount of \$180 is required by 37 CFR § 1.17(p);  
or
- b. ☐ See the certificate below. No fee is required.

VI. ☐ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(d):  
(check one box)

after the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and is filed on or before payment of the issue fee and is accompanied by:

- a. ☐ The statement specified in paragraph 1.97(e); and
- b. ☐ The fee set forth in § 1.17(p).

VII. STATEMENT UNDER 37 CFR § 1.97(e): (check only one box)

The undersigned hereby states that

- a. ☐ each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this statement.

VIII. PAYMENT OF FEES (check one box)

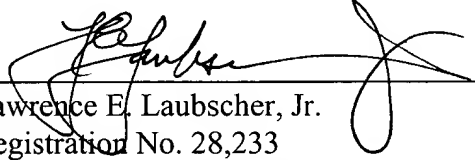
- ☐ A check in the amount of \$180 is enclosed for the above-identified fee.
- ☐ Please charge Deposit Account No. 50-1936 in the amount of \$180 for the above-indicated fee. This paper is filed in duplicate.
- ☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 50-1936.

Please charge any additional fees or credit any overpayment pursuant to 37 CFR § 1.16 or 1.17 to Deposit Account No. 50-1936.

Respectfully submitted,

November 21, 2003


  
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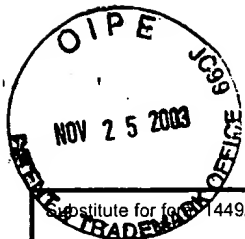
Enclosures: ☒ PTO-1449  
☒ References  
☐ Foreign Search Report  
☐ Fee  
☐ Other:

**CERTIFICATE OF MAILING**

I hereby certify that this **INFORMATION DISCLOSURE STATEMENT** and the documents noted as submitted herewith are being deposited with the United States Postal Service as first class mail in an envelope addressed to: GAU 2661, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 21, 2003.

Shelly Hubbard

Signature 



Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		<b>Complete If Known</b>	
		Application Number	09/966,691
		Filing Date	September 28, 2001
		First Named Inventor	James YIK
		Group Art Unit	2661
Examiner Name			
Sheet 1	of 1	Attorney Docket No.	21889

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document No.	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figs. Appear
		5,742,604	Edsall et al.	04-21-1998	<b>RECEIVED</b> <b>NOV 28 2003</b> <b>Technology Center 2600</b>

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>4</sup>
		Office <sup>2</sup>	Number <sup>3</sup>				
		JP	11041246 A	Fujitsu Ltd	02-12-1999		
		KR	153944		07-31-1997		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>4</sup>

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup>Unique citation designation number. <sup>2</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup>Applicant is to place a check mark here if English language translation is attached.